

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <h1>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h1>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/578,473-Conf. #8995
				Filing Date	May 8, 2006
				First Named Inventor	Lawrence M. Ausubel
				Art Unit	3693
				Examiner Name	T. T. Havan
				Attorney Docket Number	22209-00004-US2
Sheet	1	of	7		

[illegible]

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with an single asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/578,473-Conf. #8995
				Filing Date	May 8, 2006
				First Named Inventor	Lawrence M. Ausubel
				Art Unit	3693
				Examiner Name	T. T. Havan
Sheet	2	of	7	Attorney Docket Number	22209-00004-US2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CA	L. M. Ausubel, "An Efficient Ascending-Bid Auction for Multiple Objects," Working Paper 97-06, University of Maryland, June 1997.	
	CB	Charles River Associates and Market Design Inc., "Auction Design Enhancements for Non-Combinatorial Auctions," Report to the Federal Communications Commission, September 1997.	
	CC	Federal Communications Commission, "Bidder Information Package for FCC Entrepreneurs' Auction of Broadband PCS Basic Trading Area Licenses, Frequency Block C, Scheduled for August 2, 1995," pp. 1-108.	
	CD		
	CE	Arrow, Kenneth, H.D. Bloch and Leonid Hurwicz (1959), "On the Stability of Competitive Equilibrium, II," <i>Econometrica</i> 27: 82-109.	
	CF	Ausubel, Lawrence M. (1997b), "On Generalizing the English Auction," working paper, <a href="http://www.ausubel.com/auction-papers/97wp-generalizing-the-english-auction.pdf">http://www.ausubel.com/auction-papers/97wp-generalizing-the-english-auction.pdf</a>	
	CG	Ausubel, Lawrence M. and Peter Cramton (1996), "Demand Reduction and Inefficiency in Multi-Unit Auctions," Working Paper No. 96-07, <a href="http://www.cramton.umd.edu/papers1995-1999/98wp-demand-reduction.pdf">http://www.cramton.umd.edu/papers1995-1999/98wp-demand-reduction.pdf</a> .	
	CH	Banks, Jeffrey S., John O. Ledyard and David P. Porter, "Allocating Uncertain and Unresponsive: An Experimental Approach," <i>Rand Journal of Economics</i> , 20: 1-25.	
	CI	Bernheim, B. Douglas and Michael Whinston (1986), "Menu Auctions, Resource Allocation and Economic Influence," <i>Quarterly Journal of Economics</i> , 101:1-31.	
	CJ	Bulow, Jeremym Ming Huang and Paul Klemperer (1999), "Toeholds and Takeovers," <i>Journal of Political Economy</i> , 107(3): 427-454.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/578,473-Conf. #8995
				Filing Date	May 8, 2006
				First Named Inventor	Lawrence M. Ausubel
				Art Unit	3693
				Examiner Name	T. T. Havan
Sheet	3	of	7	Attorney Docket Number	22209-00004-US2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CK	G. Demange, D. Gale and M. Sotomayer, "Multi-Item Auctions," Journal of Political Economy, vol. 94, No. 4, 1986, pp. 863-872.	
	CL	Gul, Faruk and Ennio Stacchetti (1999), "Walrasian Equilibrium with Gross Substitutes," Journal of Economic Theory, 87, 9-124.	
	CM	Federal Communications Commission (1995), "Bidder Information Packet for FCC Auction Scheduled for Dec. 11, 1995.	
	CN	Groves, Theodore (1973), "Incentives in Teams," Econometrica 61: 617-31.	
	CO	Sushil Bikhchandani and Joseph M. Ostroy (1999), "The Package Assignment Model," Journal of Economic Theory 107, 377-406.	
	CP	Sushil Bikhchandani, 1996, "Auctions of Heterogeneous Objects," Games and Economic Behavior 26, 193-220.	
	CQ	Lawrence M. Ausubel, Peter Cramton, R. Preston McAfee and John McMillan, "Synergies in Wireless Telephony: Evidence from the Broadband PCS Auctions" Journal of Economics and Management Strategy, 6:3. 497-527, 1997.	
	CR	Lawrence M. Ausubel and Peter Cramton, 1998, "Auctioning Securities," JEL No.: D44(Auctions)	
	CS	Lawrence M. Ausubel and Peter Cramton, 1999, "The Optimality of Being Efficient", JEL No.: D44(Auctions)	
	CT	Lawrence M. Ausubel and Jesse A. Schwartz, 1999, "The Ascending Auction Paradox", JEL No.: D44.	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/578,473-Conf. #8995
				Filing Date	May 8, 2006
				First Named Inventor	Lawrence M. Ausubel
				Art Unit	3693
				Examiner Name	T. T. Havan
Sheet	4	of	7	Attorney Docket Number	22209-00004-US2

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T <sup>2</sup>
	CU	Sushil Bikhchandani and John W. Mamer, "Competitive Equilibrium in an Exchange Economy with Indivisibilities", 1995, Journal of Economic Theory 74, 385-413.		
	CV	Corinne Bronfman, Kevin McCabe, David Porter, Stephen Rassenti and Vernon Smith, "An Experimental Examination of the Walrasian tatonnement Mechanism", The RAND Journal of Economics, Vol. 27, No. 4 (Winter, 1996), pp. 681-699.		
	CW	Charles River Associates Incorporated and Market Design, Inc. "Simultaneous Ascending Auctions with Package Bidding", Report to Federal Communications Commission March 1998		
	CX	Peter Cramton, "Ascending Auctions", European Economic Review 42:3-5 (1998) 745-756.		
	CY	Peter Cramton, Andrew Parece and Robert Wilson, "Auction Design for Standard Offer Service", Charles River Associates and Market Design Inc., 1997		
	CZ	"Rules for Standard Offer Service Auction", Charles River Associates and Market Design Inc.		
	CA1	Peter C. Cramton, "The FCC Spectrum Auctions: An Early Assessment", Journal of Economics and Management Strategy, 6:3, 431-495, 1997.		
	CB1	Peter C. Cramton, "Money Out of Thin Air: The Nationwide Narrowband PCS Auction", Journal of Economics & Management Strategy, 4, 267-343, 1995.		
	CC1	Partha Dasgupta and Eric Maskin, "Efficient Auctions", The Quarterly Journal of Economics, Vol. 115, No. 2 (May 2000), pp. 341-388.		
	CD1	Milgrom, Paul (1996), "Auctioning the Radio Spectrum," <a href="http://www.market-design.com">www.market-design.com</a>		

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/578,473-Conf. #8995
				Filing Date	May 8, 2006
				First Named Inventor	Lawrence M. Ausubel
				Art Unit	3693
				Examiner Name	T. T. Havan
Sheet	5	of	7	Attorney Docket Number	22209-00004-US2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CE1	Faruk Gul and Ennio Stacchetti, 1995, "The English Auction with Differentiated Commodities", Journal of Economic Theory 92, 66-95 (2000).	
	CF1	Kevin A. McCabe; Stephen J. Rassenti; Vernon L. Smith, "Auction Institutional Design: Theory and Behavior of Simultaneous Multiple-Unit Generalizations of the Dutch and English Auctions", The American Economic Review, Vol. 80, No. 5 (Dec. 1990), pp. 1276-1283.	
	CG1	R. P. McAfee and J. McMillan, "Auctions and Bidding," Journal of Economic Literature, Vol. 25, June 1987, pp. 699-738.	
	CH1	R. Preston McAfee, John McMillan, "Analyzing the Airwaves Auction", The Journal of Economic Perspectives, Volume 10, Issue 1 (Winter, 1996), 159-175.	
	CI1	Eric S. Maskin, "Auctions and Privatization", In Privatization (ed. by H. Siebert), Institut fur Weltwirtschaft an der Universitat Kiel, 1992, pgs. 115-136.	
	CJ1	Alejandro M Manelli, Martin Sefton and Benjamin S. Wilner, "Multi-Unit Auctions: a Comparison of Static and Dynamic Mechanisms, Version October 1999.	
	CK1	Kelso, Alexander S. and Vincent P. Crawford (1982), "Job Matching, Coalition Formation, and Gross Substitutes," Econometrica 50:1483-1504.	
	CL1	John H. Kagel and Dan Levin, "Behavior in Multi-Unit Demand Auctions: Experiments with Uniform Price and Dynamic Vickrey Auctions", Econometrica, Vol. 69, No. 2 (March, 2001), 413-454.	
	CM1	K. A. McCabe, S. J. Rassenti and V. L. Smith, "Testing Vickrey's and Other Simultaneous Multiple Unit Versions of the English Auction," Research in Experimental Economics, vol. 4, Greenwich, Conn.: JAI Press, 1991, pp. 45-79.	
	CN1	John H. Kagel, Ronald M. Harstad and Dan Levin, "Information Impact and Allocation Rules in Auctions with Affiliated Private Values: A Laboratory Study", Econometrica, Vol. 55, No. 6. (Nov., 1987), pp. 1275-1304.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/578,473-Conf. #8995
				Filing Date	May 8, 2006
				First Named Inventor	Lawrence M. Ausubel
				Art Unit	3693
				Examiner Name	T. T. Havan
Sheet	6	of	7	Attorney Docket Number	22209-00004-US2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CO1	Philippe Jehiel and Benny Moldovanu, "Efficient Design with Interdependent Valuations", <i>Econometrica</i> , Vol. 69, No. 5 (September, 2001), 1237-1259.	
	CP1	McMillan, John (1994), "Selling Spectrum Rights", <i>Journal of Economics Perspectives</i> , 8: 145-162.	
	CQ1	F. M. Menezes, Four Essays on Auction Theory, University of Illinois doctoral dissertation, February 1993, pp. 1-97 and 143-152.	
	CR1	Milgrom, Paul (2000), "Putting Auction Theory to Work: The Simultaneous Ascending Auction", <i>Journal of Political Economy</i> , 108:2, 245-272.	
	CS1	Milgrom, Paul (1981), "Rational Expectations, Information Acquisition, and Competitive Bidding", <i>Econometrica</i> , 49: 921-43.	
	CT1	Milgrom, Paul and Robert Weber (1982), "A Theory of Auctions and Competitive Bidding", <i>Econometrica</i> 50: 1089-1122.	
	CU1	U.S. Department of Treasury, U.S. Securities and Exchange Commission, and Board of Governors of the Federal Reserve System, Joint Report on the Government Securities Market, Washington, D.C.: U.S.G.P.O., January 1992.	
	CV1	Rassenti, S. J., V. L. Smith, and R. L. Bulfin (1982), "A Combinatorial Auction Mechanism for Airport Time Slot Allocation", <i>Bell Journal Economics</i> XIII: 402-417.	
	CW1	M. H. Rothkopf, A. Pekec and R. M. Harstad (1998), "Computationally Manageable Combinatorial Auctions", <i>Management Science</i> , Vol. 44, No. 8, 1131-1147.	
	CX1	Rothkopf, Michael, Thomas Teisberg and Edward Kahn (1990), "Why Are Vickrey Auctions Rare?" <i>Journal of Political Economy</i> , 98: 94-109.	
	CY1	Christine DeMartini, Anthony M. Kwasnica, John O. Ledyard and David Porter, "A New and Improved Design for Multi-Object Iterative", Social Science Working Paper 1054, September 1999	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/578,473-Conf. #8995
				Filing Date	May 8, 2006
				First Named Inventor	Lawrence M. Ausubel
				Art Unit	3693
				Examiner Name	T. T. Havan
Sheet	7	of	7	Attorney Docket Number	22209-00004-US2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CZ1	Paul A. Samuelson, "The Stability of Equilibrium: Comparative Statics and Dynamics", <i>Econometrica</i> , Volume 9, April 1941, Number 2.	
	CA2	Scarf, Herbert (1960), "Some Examples of Global Instability of the Competitive Equilibrium", <i>International Economic Review</i> , 1: 157-172.	
	CB2	Motty Perry and Philip J. Reny, May 2001, pages 1-29.	
	CC2	Motty Perry and Philip J. Reny, "Notes and Comments and Efficient Auction", <i>Econometrica</i> , Vol. 70, No. 3 (May 2002), 1199-1212.	
	CD2	D. C. Parkes (1999), "iBundle: An Efficient Ascending Price Bundle Auction", <i>Proceedings ACM Conference on Electronic Commerce (EC-99)</i> , Denver 148-157.	
	CE2	Vickrey, William (1961), "Counterspeculation, Auctions and Competitive Sealed Tenders", <i>Journal of Finance</i> , XVI, 8-37.	
	CF2	Robert Wilson, February 21, 1997, Activity Rules for a Power Exchange.	
	CG2	Robert Wilson, March 14, 1997, "Activity Rules for the Power Exchange", Report to the California Trust for Power Industry Restructuring.	
	CH2	Robert Wilson, "Auctions of Shares", <i>The Quarterly Journal of Economics</i> , Vol. 93, No. 4. (Nov. 1979), pp. 675-689.	
	CI2	W. Vickrey, "Auctions, Markets and Optimal Allocation", <i>Bidding and Auctioning for Procurement and Allocation</i> , New York: New York University Press 1976, pp. 13-20.	
	CJ2	Cybernomics, Inc., "An Experimental Comparison of the Simultaneous Multi-Round Auction and the CRA Combinatorial Auction", March 15, 2000	
	CK2	Noam Nisan, "Bidding and Allocation in Combinatorial Auctions", April 17, 2000	
	CL2	Charles River Associates Incorporated, "Report 1B: Package Bidding for Spectrum Licenses", October 1997.	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.